

Appl. No. 09/916,951
Response Dated December 29, 2005
Reply to Office action dated September 30, 2005

Amendments to the Specification

Please replace the paragraph beginning on page 1, line 5 with the following amended paragraph:

This Application is related to co-pending U.S. Patent Application Serial No. [[_____]]09/917,120, filed [[_____]] July 27, 2001, entitled "Methods and Systems for Assisting Financial Services Firms and Their Representatives", and U.S. Patent Application Serial No. [[_____]]09/917,447, filed [[_____]] July 27, 2001, entitled "Methods And Systems For Providing A Measure Of Supervision Over The Activities Of Representatives Of A Business", both of which are incorporated herein by reference.

Please replace the paragraph beginning on page 20, line 20 with the following amended paragraph:

Figure 12 shows an illustrative Trades Buy Blotter that is preferably maintained by the system for all representatives of a firm. The Trade Buy Blotter includes buys that occurred between October 1, 2000 to October 31, 2000. The illustrative Trade Buy Blotter shows the trade date, the settle date, whether the trade was a buy or sell, the account number corresponding to each trade, the particular product or security that was traded, the number of shares traded, whether the trade was solicited or unsolicited by the representative, the buy price per share, the total buy cost, and the buy commission. Each buy entry shown in Figure 12 is generated by the system when a representative executes a buy trade using the pull down menu shown in Figure 9. A further discussion of this system can be found in co-pending U.S. Patent Application Serial No. [[_____]]09/917,120, filed [[_____]] July 27, 2001, entitled "Methods and Systems for Assisting Financial Services Firms and Their Representatives", which is incorporated herein by reference. As can be seen, the system described above with respect to Figures 8-12 can be used by a representative to record his/her sales in real or near real time.